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Forms are available
at www.ims.gov



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

2005 NATIVE AMERICAN/ NATIVE HAWAIIAN MUSEUM SERVICES

*Grant Application
and Guidelines*

Application Deadline:

April 1, 2005

For information, call

IMLS: (202) 606-8539

NATIVE AMERICAN/ NATIVE HAWAIIAN MUSEUM SERVICES

Grant Application and Information

Fiscal Year 2005

What is IMLS?

The Institute of Museum and Library Services is an independent Federal grant-making agency dedicated to creating and sustaining a nation of learners by helping libraries and museums serve their communities. The Institute fosters leadership, innovation, and a lifetime of learning by supporting the nation's 15,000 museums and 122,000 libraries. The Institute also encourages partnerships to expand the educational benefit of libraries and museums. Created by the Museum and Library Services Act of 1996, P.L. 104-208, IMLS administers the Library Services and Technology Act and the Museum Services Act. In 2003, Congress reauthorized the Museum and Library Services Act, P.L. 108-81, reaffirming the vital role that museums and libraries play in our communities. The Institute receives policy advice from the Presidentially appointed, Senate confirmed National Museum and Library Services Board.

IMLS provides support to all types of libraries through grants to states and through discretionary programs. For many museums, IMLS is the only source of federal support. The National Museum and Library Services Board, a Presidentially-appointed body confirmed by the Senate, provides policy advice to the Director of IMLS.

For more information call or write:

Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506
(202) 606-8536

[http:// www.imls.gov](http://www.imls.gov)

TTY (for hearing impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant application and information booklet by contacting IMLS.

Burden estimate and request for public comments

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comment regarding this burden estimate or any other aspect of this collection of information, including suggestion for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue NW, Room 223, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0029), Washington, DC 20503.

CFDA No. XXXXX



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Richard S. Martin

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Program at a Glance

Deadline:	April 1, 2005
Matching Requirement:	No match required, but organizational maintenance of effort must be demonstrated. Federal funds should supplement, not replace, tribal funding for museum services
Amount of Grant:	\$5,000 – \$20,000
Eligibility:	See pages 1.3–1.4
Grant Period:	Up to Two Years Must begin between Oct. 1, 2005 and Dec. 31, 2005
Program Contact:	Mary Estelle Kennelly, Associate Deputy Director for Museum Services 202/606-8547, mekennelly@imls.gov
Awards Notification:	September 2005

PROGRAM DESCRIPTION

The Native American/Native Hawaiian Museum Services Grant (NANH) program provides new opportunities for improved museum services. This new program enables Native American tribes and organizations that primarily serve native Hawaiians to benefit their communities and audiences through strengthened museum services.

These competitive, two year grants will support museum services through

- Programming
- Professional development, and
- Enhancement of museum services

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PART 1
GENERAL
INFORMATION

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The Opportunity: Native American/ Native Hawaiian Museum Services Grant Program

The Native American/Native Hawaiian Museum Services program enables Native American tribes and organizations that primarily serve Native Hawaiians to benefit their communities and audiences through strengthened museum services in the areas of programming, professional development, and enhancement of museum services). Grants are intended to support activities in museums and museum related organizations, such as cultural centers.

The program will support services and activities in the following areas:

Programming: Services and activities that support the educational mission of museums and museum related organizations, including (but not limited to) activities such as:

- Exhibits
- Research and interpretation
- Educational resources such as web sites, curricula, digital content, and publications
- Educational demonstrations and performances, including workshops, classes and presentations

Professional Development: Education or training that builds skills, knowledge or other professional capacity for individuals who provide or manage museum services activities. Individuals can be paid or volunteer, and involved with museum services either currently or in the future. Activities include but are not limited to:

- Creation and offering of courses, workshops, in-person or distance learning offerings
- Enrollment in courses, workshops, in-person or distance learning offerings
- Attendance at conferences or other professional meetings
- Hiring of consultants or technical assistance to strengthen museum services and activities
- Organizational support for internships and fellowships (awards are not made to individuals)

Enhancement of Museum Services: Support for activities that enable and improve museum services, including (but not limited to):

- Planning, including strategic planning, policy development, and disaster preparedness and risk management
- Improvement implementation, including technology and other resources, equipment purchase, security, public access (Construction projects are not allowed)
- Heritage preservation, including collections care and management
- Hiring of temporary or permanent staff to support museum services

Eligibility

WHO MAY APPLY

Indian tribes and organizations that primarily serve and represent Native Hawaiians are eligible to apply for funding under this program. Entities such as museums, libraries, schools, tribal colleges, or departments of education are not eligible applicants, although they may be involved in the administration of this program and their staff may serve as project directors.

For purposes of funding under this program, “Indian tribe” means any tribe, band, nation, or other organized group or community, including any Alaska native village, regional corporation, or village corporations (as defined in or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. Section 1601 et seq.)) which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Eligible entities are listed on the Bureau of Indian Affairs web site (www.doi.gov/bureau-indian-affairs.html), except for the recognized Alaska native villages, regional corporations, and village corporations (Alaskan entities should refer to applicable provisions in the Alaska Native Claims Settlement Act, referenced above).

Nonprofit organizations that primarily serve and represent Native Hawaiians, as the term is defined in 20 U.S.C. Section 7517, are also eligible for funding. The term “Native Hawaiian” means (a) any individual who is a citizen of the United States, and (b) a descendant of the aboriginal people who, prior to 1778, occupied and exercised sovereignty in the area that now comprises the State of Hawaii, as evidenced by genealogical records; Kapuna (elders) or Kamaaina (long-term community residents) verification; or certified birth records.

INDIAN TRIBE APPLICANTS

The term “Indian tribe” means any tribe, band, nation, or other organized group or community, including any Alaska Native village, regional corporation, or village corporation, as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.), which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Except for recognized Alaska Native corporations, eligible entities are listed on the Bureau of Indian Affairs web site (www.doi.gov/bureau-indian-affairs.html).

Entities such as museums, schools, tribal colleges, or departments of education, are not eligible applicants, although they may be involved in the administration of this program and listed as contacts on the grant application forms.

If a tribe has several bands, colonies, rancherias, communities or other organizational entities listed in parentheses following a tribe name on the Department of Interior’s list of Federally recognized tribes, only one of those entities may receive a grant in a fiscal year. For example, if a tribe has four bands, only one of the bands may apply for a grant in a fiscal year. It is the responsibility of the tribal chief executive to determine which entity will apply for the grant. IMLS will notify the affected tribes of any change in this policy.

**NATIVE
HAWAIIAN
APPLICANTS**

Grants are available to nonprofit organizations that primarily serve and represent Native Hawaiians, as the term is defined in section 7207 of the Native Hawaiian Education Act. The term “Native Hawaiian” means an individual who is a citizen of the United States and a descendant of the aboriginal people who, prior to 1778, occupied and exercised sovereignty in the area that is now the State of Hawaii.

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Conditions of a Grant

USE OF FUNDS

IMLS NENH grant funds may be used only for costs directly related to the project such as costs for salaries for museum personnel, project supplies and materials, membership fees, telecommunication services and equipment and other fees or expenses associated with the project.

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, collection acquisition or pre-grant costs.

All listed expenses must be incurred during the grant period.
Government-wide cost principles apply.

GRANT PERIOD

Applicants may request a grant period up to two years. Once funds are awarded, funds must be expended within the specified grant period. The grant period begins no earlier than October 1, 2005 and begins no later than December 31, 2005.

A onetime no-cost extension to the grant period may be requested from the Associate Deputy Director for Museum Services. A request for an extension must be made in writing no later than 10 days before the end of the grant period.

AMOUNT OF GRANT

An applicant may request from \$5000 up to a total of \$20,000 regardless of length of grant period. IMLS will review and negotiate budgets as appropriate. Applicants may be granted an amount less than that requested. Grants will be made in September 2005 from fiscal year 2005 funds.

MAINTENANCE OF EFFORT

Matching or cost sharing is not required in this program. However, IMLS requires that organizations maintain their previous funding efforts and demonstrate that Federal funds will enhance rather than replace tribal funding for museum/library services. Applicants are encouraged, when possible, to contribute financially or through in kind services to proposed projects in order to promote community interest and involvement.

NOTIFICATION OF GRANT AWARD

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in September 2005.

**PAYMENT,
ACCOUNTING,
AND
REPORTING
PROCEDURES**

A Federal accounting office handles the payment of NANH grants. Grant recipients may request cash advances or reimbursements as needed during the grant period. Final reimbursement requests must be made within 90 days after the end of the grant period. Payments are made electronically.

IMLS requires grant recipients to maintain a restricted account for funds received during the grant period. Recipients do not need to maintain a separate bank account for IMLS funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the IMLS funds have been used for grant costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients will be required to submit six-month performance reports as well as annual financial status reports; they are required to submit a final performance report and a final financial report. Interim reports must be submitted within 30 days after the end of each reporting period. Final performance and financial reports must be submitted within 90 days after the close of the grant period. IMLS will provide reporting instructions.

**DATA
UNIVERSAL
NUMBERING
SYSTEM**

In order to improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants to federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or non-profit organization they may operate are exempt from this requirement.

TIN

TIN (left margin sidebar)

The Taxpayer Identification Number is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal Tax Identification Number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If your organization does not have a DUNS or TIN number, your application will be rejected.

Application Review and Evaluation

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants to obtain information needed to make an eligibility determination. If an applicant is determined to be ineligible, the agency will reject the application without evaluating the proposed project. Similarly, the agency will reject an incomplete application — without subsequent evaluation of the proposed project. IMLS will notify an institution if its application is rejected.

All eligible and complete applications are competitively reviewed through the agency's peer review process. Applications are evaluated by individual field review and/or panel review. IMLS draws its reviewer pool from professionals in the field who have relevant knowledge and expertise in the types of activities and organizations identified in the applications.

During the evaluation process, reviewers are instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Accordingly, applicants should address all program criteria in their Application Narratives and include supporting materials in their submissions to the agency. The IMLS Director makes funding decisions based on the reviewers' evaluations and the overall goals of this program and the agency.

PART 2

COMPLETING THE APPLICATION NARRATIVE

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Application Evaluation Criteria

Since reviewers base their evaluations only on the information presented in the application, it is important that applicants prepare a clear, concise, well organized document. Applicants must address all of the evaluation criteria and in the same order in which they are listed below. Each criterion should be used as a heading and followed by a comprehensive description. The first seven criteria listed should be addressed in the application narrative. The budget should be addressed in a separate section

STATEMENT OF NEED

Include a statement of need as it relates to the museum and the community. Include information such as:

- a description of the community,
- current status of the museum,
- how the proposal will improve museum services, and
- impact on the community from improved museum services.

PROJECT PURPOSE AND PLAN

Include a description of the proposed project description and plan. Include information such as:

- project goals and objectives,
- action steps and activities to implement the project,
- evidence that applicant is capable of implementing the project plan,
- evidence that applicant is capable of successfully completing the project
- plan to maintain and continue the positive changes after the period of Federal funding.

EVALUATION

Describe the approach to be used for monitoring and assessing the activities of the project. Describe the information to be collected to document the extent to which the project met its goals

PART 3

PREPARING AND SENDING THE APPLICATION

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Preparing Your Application

FORMAT

All application materials *must*

- Be on 8.5- by 11-inch paper.
- Have a margin of at least .5 inch on all sides.
- Be printed in a font with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
- Conform to the seven-page limit.
- Have page numbers on each page, front and back if double-sided pages are used.

An application requesting a NANH Grant must include the following materials organized in the order listed:

1. Face Sheet
2. Narrative
3. Schedule of Completion
4. Budget
 - a. Detailed Budget
 - b. Budget Justification
 - c. Current, federally negotiated rate agreement for indirect costs, if applicable
5. Signed Assurances Form (four pages)
6. Attachments
 - For example:
 - Resumes of all staff involved in project (no more than two pages each)
 - Position descriptions for new positions for which IMLS funding is requested
 - Descriptions of equipment purchase

ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all applications available on its Web site in PDF (Portable Document File) fill-in forms for download. Applicants can download the electronic version of IMLS application forms and, using freely available Adobe Acrobat Reader software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Completed forms can then be printed out and mailed to IMLS as part of your application package. At this time, IMLS is not accepting electronic submission of grant applications. The fill-in forms are located at www.imls.gov/grants/appl/index.htm. Before completing the fill-in forms, read through the detailed instructions under the link Adobe Acrobat reference center on the same page as the link to the applications.

CAUTION: Please note that Adobe Acrobat Reader does not allow you to save your completed forms. You must completely fill in and print the forms in one operation. The ability to save completed forms is available commercially with the purchased, full version of Adobe Acrobat 5.0 (or later) product suite.

An applicant requesting NANH grant support should complete the application and submit it with the Assurances form signed by the authorized certifying tribal official. Submit the complete **four-page** Assurances form, not just the signed page.

The applicant must submit one application with original signature(s) of authorizing official(s) on the Assurances form. Photocopies or stamps of signatures will not be accepted on the original. Include four additional copies of the entire application.

Do not place the original or copy in a binder or notebook.

Applicants submitting incomplete applications will not be considered for funding. IMLS will determine if an application is incomplete.

FACE SHEET

The face sheet is provided. Use or replicate this form. It is available as a fill-in form on the IMLS Web site.

NARRATIVE

A narrative of no more than five (5) single-spaced, one-sided pages should address the evaluation criteria listed on pages xx. Do not exceed the five page limit. Use 8 1/2 x 11 inch paper. Your narrative should include sections on: statement of need, project purpose and plan, and evaluation. The narrative should provide a description for each of the criterion and they should appear in the order listed. Make it clear to reviewers why you are proposing the project, what the project entails, how the activities will be accomplished, who will be involved, when the activities will take place, and how the project will be managed, evaluated and sustained.

SCHEDULE OF COMPLETION

The schedule of completion should correspond to the activities described in the narrative. A sample schedule of completion is provided with the application package on page xx.

PROJECT BUDGET

The Project Budget is made up of two elements:

1. Detailed Budget (forms located on pages xxx)
2. Budget Justification (two-page limit)
3. Indirect Costs

The Project Budget should include costs to be supported by IMLS funds. Only those costs attributable to achieving specific project activities should be included in the budget.

1. DETAILED BUDGET

The Detailed Budget is a set of forms that is described below. Use or replicate the forms in this booklet or access the electronic fill-in forms at the IMLS Web site (see page xxx).

- It should be completed for each year (12-month period) of project activities. For example, year one may be July 1, 2005 through June 30, 2006.
- It should be duplicated, one set for each year of your project.
- It should include cost categories identified in the sample budget layout
- It lists items that must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period.
- It should identify consultant fees costs by hourly rates or daily fees.
- It indicates the method of cost computation. This is the type of calculation that you are using to show the fees; this could be estimate, hourly, yearly wage, etc.

2. BUDGET JUSTIFICATION

The Budget Justification is a text section that is described below.

- It should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role of each person listed in the project budget.
- It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses; specifications for all hardware and software for which IMLS funding is requested should be provided.
- If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period.
- It should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or be otherwise justified.
- It should be no more than two single-spaced pages.

3. INDIRECT COSTS

Indirect costs are project costs that an institution incurs that cannot be easily assigned to an individual project. They are also called “overhead” or “administrative costs.” Examples of indirect-cost type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the institution.

- Institutions that do not have a federally negotiated indirect cost rate and do not wish to negotiate one may charge an administrative fee to the project of up to 15 percent. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to distorting costs such as equipment purchases or subcontracts over \$5,000.
- If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.
- An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.

Once an indirect cost rate is accepted by IMLS, the rate shall be considered fixed for the duration of the grant even if, during the course of the grant, the grantee negotiates a new IDC rate.

**SIGNED
ASSURANCES
FORM**

To be considered for a grant, the certified authorizing tribal official must read and sign the Assurances form. Photocopies or stamps of signatures will not be accepted on the original form. Indicate the title of the official.

The authorizing official may be the organization's chief executive officer or an executive member of the organization's governing body.

The application is not complete unless the authorizing official has signed it. Send the complete four-page Assurances form.

ATTACHMENTS

Resumes or vitae of **no more than two pages** each for all key personnel (both staff and consultants) must be included. For new positions for which IMLS funding is requested, include position descriptions. Also, applicants should include documents that specifically relate to the justification for the project. Information may include needs assessments, long range or strategic plans, products or evaluations from previously completed or ongoing projects of a similar nature, specifications for equipment to be purchased, or other documents for the evaluation of the proposal.

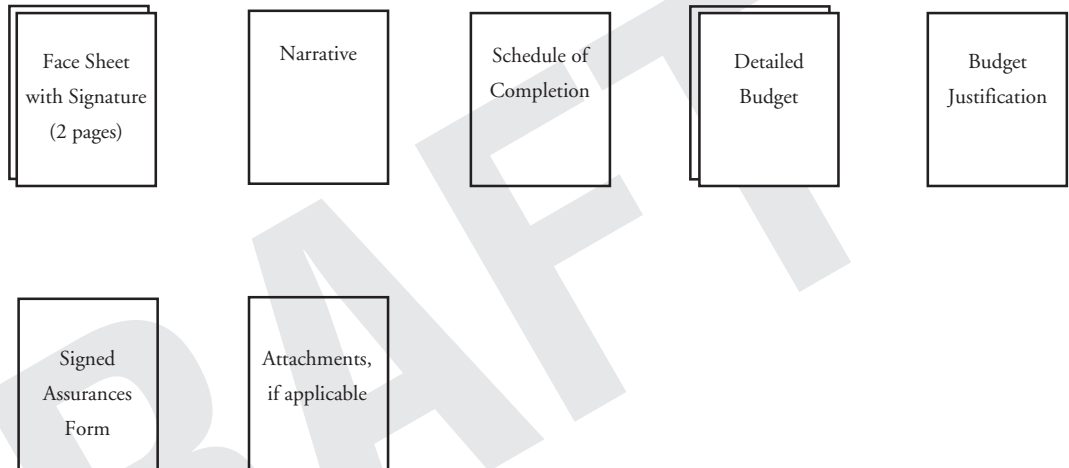
How to Assemble the Application Package

Review your application package carefully before sending it to us. You must include *all* of the required items listed below in the original and 10 copies that you send to IMLS. *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-8539.

**ASSEMBLE
YOUR
APPLICATION
PACKAGE
AS
FOLLOWS:**

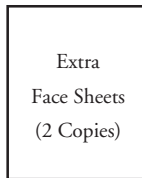
STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL

STEP 2: COLLATE ONE ORIGINAL COMPLETE COPY OF YOUR APPLICATION AS FOLLOWS:

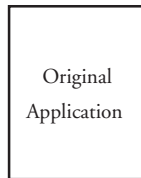


STEP 3: MAKE 10 IDENTICAL SETS OF THE MATERIAL YOU ASSEMBLED IN STEP 2.

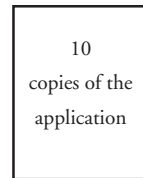
STEP 4: COLLATE YOUR PILES FROM STEPS 1-3 AS FOLLOWS:



STEP 1



STEP 2



STEP 3

PLEASE DO NOT USE STAPLES TO FASTEN EACH COPY OF THE APPLICATION. PLEASE USE BINDER CLIPS OR OTHER REMOVABLE BINDING SYSTEMS.

YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.

Note: IMLS will not do your photocopying or collating!

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Sending the Application to IMLS

Ship Native American/Native Hawaiian Museum Services Grant program applications to:

**Native American/Native Hawaiian
Museum Services Grant**
Office of Museum Services
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW, Suite 609
Washington, DC 20506

postmarked by April 1, 2005

SHIPPING

Shipping an application to IMLS:

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent through the U.S. Postal Service to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage.
- Please consider using alternative delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.

IMLS ACKNOWLEDGEMENT

- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received within 40 business days from the deadline, contact IMLS to make sure the application was received by the agency.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected. See Shipping, above, for information about postal delays.

PROOF OF SHIPPING

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, and then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a alternative carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered or certified mail, the return receipt postcard does not meet the IMLS requirement for proof of shipping.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.

PART 4
APPLICATION
FORMS

DRAFT

Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order.

- ☐ Face Sheet with signature (2 pages)
- ☐ Narrative (not to exceed 5 pages)
- ☐ Schedule of Completion
- ☐ Project Budget Forms
 - ☐ Summary Budget
 - ☐ Detailed Budget
 - ☐ Budget Justification
- ☐ Current, federally negotiated rate for indirect costs, if applicable
- ☐ Signed Assurances Form
- ☐ Attachments

Face Sheet

OMB No. XXXX-XXXX

XX/XX/XXXX

CFDA No. XX.XXX

1. Name of Tribe/Alaska Native Village/Corporation/Native Hawaiian Organization

2. Organization Mailing Address

3. City

4. State

5. Zip Code

6. Web Address

7. DUNS Number (9 digits)

8. TIN Number (9 digits)

9. Name and Title of Project Director ☐ Mr. ☐ Ms. ☐ Dr.

10. Business Phone of Project Director

11. Affiliation of Project Director (Name of museum or cultural center)

12. Project Director Mailing Address

13. City

14. State

15. Zip Code

16. Fax Number of Project Director

17. E-mail Address of Project Director

18. Name and Title of Authorizing Official/Tribe's Chief Executive

19. Business Phone of Authorizing Official/Tribe's Chief Executive

20. Authorizing Official/Tribe's Chief Executive Mailing Address

21. City

22. State

23. Zip Code

24. Email Address of Authorizing Official/Tribe's Chief Executive

25. Number of days open per week

26. Number of full-time museum staff

27. Number of part-time museum staff

28. Does the museum or cultural center have access to the Internet? ☐ Yes ☐ No

29. Amount of operating budget for services in most recently completed fiscal year

30. Amount Requested \$

31. Grant Period (Starting Date) / / — / / (Ending Date)
(must begin between 10/1/05 – 12/31/05)

32. Identify which of the following activities will be supported with IMLS funds (please check all appropriate boxes)

- ☐ Programming
- ☐ Professional Training
- ☐ Enhancing Museum Services

33. Project Title

34. Organization Name _____

35. In the space below, please provide an organizational profile that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

DRAFT

36. Certification: _____
Signature of Authorizing Official/Tribe's Chief Executive

Date

Project Budget Form

SECTION 1: SUMMARY BUDGET

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES XX–XX BEFORE PROCEEDING.

DIRECT COSTS

IMLS

SALARIES & WAGES _____

FRINGE BENEFITS _____

CONSULTANT FEES _____

TRAVEL _____

MATERIALS, SUPPLIES & EQUIPMENT _____

SERVICES _____

OTHER _____

TOTAL DIRECT COSTS \$ _____

INDIRECT COSTS \$ _____

TOTAL PROJECT COSTS \$ _____

AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS \$ _____

Project Budget Form

SECTION 2: BUDGET

Year ☐ 1 ☐ 2 ☐ 3 - Budget Period from ____ / ____ / ____ to ____ / ____ / ____

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.4–3.5 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE COMPUTATION	No.	METHOD OF COST	IMLS
_____	()	_____	_____
_____	()	_____	_____
_____	()	_____	_____
_____	()	_____	_____
TOTAL SALARIES AND WAGES \$			_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE COMPUTATION	No.	METHOD OF COST	IMLS
_____	()	_____	_____
_____	()	_____	_____
_____	()	_____	_____
_____	()	_____	_____
TOTAL SALARIES AND WAGES \$			_____

FRINGE BENEFITS

RATE	SALARY BASE	IMLS
_____ % of \$ _____	_____	_____
_____ % of \$ _____	_____	_____
_____ % of \$ _____	_____	_____
TOTAL FRINGE BENEFITS \$		_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HOURS) ON PROJECT	IMLS
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS
_____ () ()	_____	_____	_____	_____
_____ () ()	_____	_____	_____	_____
_____ () ()	_____	_____	_____	_____
_____ () ()	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$				_____

Project Budget Form

SECTION 2: BUDGET CONTINUED

Year ☐ 1 ☐ 2 ☐ 3

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS
_____	_____	_____
_____	_____	_____
_____	_____	_____

TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$ _____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS
_____	_____	_____
_____	_____	_____
_____	_____	_____

TOTAL SERVICES COSTS \$ _____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS
_____	_____	_____
_____	_____	_____
_____	_____	_____

TOTAL OTHER COSTS \$ _____

TOTAL DIRECT PROJECT COSTS \$ _____

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 3.5.)

Applicant organization is using:

- ☐ A. An indirect cost rate which does not exceed 15 percent of modified total direct costs charged to IMLS.
☐ B. Federally negotiated indirect cost rate (see page 3.5).

Name of Federal Agency Expiration

Date of Agreement

Rate base Amount(s)

_____ % of \$ _____ = \$ _____

IMLS Applicant

Total

C . Total Indirect Costs

\$_____ \$_____

\$_____

This page is a sample format for a schedule of completion. Prepare yours in a similar manner, listing each major project activity discussed in narrative.

	Year: _____											
	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.
Activity 1	_____											
Activity 2	_____											
Activity 3	_____											
Activity 4	_____											
Activity 5	_____											
Activity 6	_____											
Activity 7	_____											
Activity 8	_____											
Activity 9	_____											
Activity 10	_____											
Activity 11	_____											

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form. If you receive a grant, you must comply with these requirements.

CERTIFICATION OF AUTHORIZING OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application, and I hereby certify on behalf of the applicant organization that

- 1) the information provided is true and correct *and*
- 2) all requirements for a complete 2005 IMLS application have been fulfilled *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, nondiscrimination, drug-free workplace, and lobbying activities as set forth in the Assurances statement below.

Should my organization receive a grant, the organization and I will comply with all requirements of the IMLS Grants Regulations (45 CFR Part 1180 et seq.), all statutes outlined below, and all other applicable federal statutes and regulations.

Signature of Authorizing Official /Tribe's Chief Executive

Date

Name & Title of Authorizing Official /Tribe's Chief Executive (printed or typed)

Mailing Address of Authorizing Official/Tribe's Chief Executive

Business Phone of Authorizing Official/Tribe's Chief Executive

E-mail Address of Authorizing Official/Tribe's Chief Executive

IMLS Regulations are available upon request.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

FEDERAL DEBT STATUS

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- (A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
 - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
 - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:

- (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
- (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

- The authorizing official certifies, to the best of his or her knowledge and belief that:
- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
 - (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
 - (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

SUBAGREEMENTS

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
 - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**NATIVE
AMERICAN
HUMAN
REMAINS
AND
ASSOCIATED
FUNERARY
OBJECTS**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

**HISTORIC
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

**ENVIRONMENTAL
PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended.
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.); and

- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

The authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

**RESEARCH
ON HUMAN
AND
ANIMAL
SUBJECTS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 609, Washington, DC 20506 or call (202) 606-8539.



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Washington, DC 20506

Official Business
Penalty for Private Use, \$300

PRSRT STD
U.S. Postage
Paid
Institute of
Museum &
Library Services
Permit No. G-274

Dated Material
OPEN IMMEDIATELY